



**FEMA**

## FY 2007 PRE-DISASTER MITIGATION PROGRAM OVERVIEW

### BACKGROUND

The Pre-Disaster Mitigation (PDM) program will provide funds to States, Territories, Federally-recognized Indian tribal governments, and communities for hazard mitigation planning and the implementation of mitigation projects prior to a disaster event. Funding these plans and projects reduces overall risks to the population and structures, while also reducing reliance on funding from actual disaster declarations. This is an overview of the fiscal year (FY) 2007 Pre-Disaster Mitigation program.

USES OF FUNDS	KEY POINTS
<p><b>FUNDS:</b></p> <p>PDM grants are awarded on a competitive basis. Congress has appropriated \$100 million for competitive grants, technical assistance, and program support for the FY 2007 PDM program. The PDM program was reauthorized through September 30, 2008. For the 2007 competitive PDM program, each State will receive at least \$500,000 for sub-application(s) for at least that amount are submitted that meet all the eligibility requirements of the program as stated in this guidance. All remaining eligible sub-applications will compete nationally for the remaining PDM funds.</p> <ul style="list-style-type: none"><li>▪ Mitigation planning: \$1M cap on Federal share, not to exceed 3 years;</li><li>▪ Mitigation projects: \$3M cap on Federal share, not to exceed 3 years;</li><li>▪ Total State cap on Federal share is \$15M in a any year;</li><li>▪ Information dissemination activities: not to exceed 10%, must directly relate to planning or project sub-application;</li><li>▪ Applicant management costs: not to exceed 10%; and</li><li>▪ Sub-applicant management costs: not to exceed 5%.</li></ul> <p><b>COST-SHARE:</b></p> <p>Up to 75% Federal cost share. Small and impoverished communities may be eligible for up to a 90% Federal cost-share.</p> <p><b>ELIGIBLE ACTIVITIES:</b></p> <p>Mitigation planning activities;</p> <ul style="list-style-type: none"><li>▪ New plan development;</li><li>▪ Upgrade; and</li><li>▪ Comprehensive review and update.</li></ul> <p>Mitigation project activities; and,</p> <ul style="list-style-type: none"><li>▪ Voluntary acquisition of real property (<i>i.e.</i> structures and land, where necessary) for conversion to open space in perpetuity;</li><li>▪ Relocation of public or private structures;</li><li>▪ Elevation of existing public or private structures to avoid coastal or riverine flooding;</li><li>▪ Structural retrofitting and non-structural retrofitting (<i>e.g.</i>, storm shutters, hurricane clips, bracing systems) of existing public or private structures to meet or exceed applicable building codes relative to hazard mitigation;</li><li>▪ Construction of safe rooms (<i>e.g.</i>, tornado and severe wind shelters) for public and private structures that meet the FEMA construction criteria in FEMA 320 "Taking Shelter from the Storm" and FEMA 361 "Design and Construction Guidance for Community Shelters";</li><li>▪ Hydrologic and Hydraulic studies/analyses, engineering studies, and drainage studies for the purpose of project design and feasibility</li></ul>	<p><b>INELIGIBLE PLANNING ACTIVITIES:</b></p> <ul style="list-style-type: none"><li>▪ Flood studies or flood mapping;</li><li>▪ Mapping activities that are not part of a risk assessment;</li><li>▪ Risk assessments, technical assistance, studies, or workshops not resulting in a FEMA-approved hazard mitigation plan;</li><li>▪ Information dissemination activities exceeding 10% of the total cost of the planning sub-application or that are not tied directly to a PDM planning sub-application;</li><li>▪ Any ground disturbing activity that would initiate the environmental review and compliance process;</li><li>▪ Pre-award activities not directly related to the development of the planning sub-application or implementing the proposed planning activity; and</li><li>▪ Limited revisions and amendments that do not result in a comprehensive hazard mitigation plan update.</li></ul> <p><b>INELIGIBLE PROJECT ACTIVITIES:</b></p> <ul style="list-style-type: none"><li>▪ Major flood control projects;</li><li>▪ Water quality infrastructure projects;</li><li>▪ Projects that address ecological issues related to land and forest management;</li><li>▪ Warning and alert notification systems;</li><li>▪ Phased or partial projects;</li><li>▪ Studies that do not result in a project (<i>e.g.</i>, engineering designs, feasibility studies, or drainage studies that are not integral to a proposed project);</li><li>▪ Flood studies or flood mapping (general H&amp;H studies not integral to project design);</li><li>▪ Dry flood proofing of residential structures;</li><li>▪ Generators for non-critical facilities;</li><li>▪ Generators and related equipment (<i>e.g.</i>, generator hook-ups) for critical facilities that are not part of a larger eligible mitigation project sub-application and is not directly related to the hazard(s) that threaten that critical facility</li><li>▪ Any mitigation activities involving</li></ul>

- determination;
- Vegetation management for natural dune restoration, wildfire or snow avalanche;
- Protective measures for utilities (*e.g.*, electric and gas); water and sanitary sewer systems and/or infrastructure (*e.g.*, roads and bridges);
- Storm water management projects (*e.g.*, culverts, retention basins) to reduce or eliminate long-term risk from flood hazards; and
- Localized flood control projects, such as certain ring levees, bank stabilization, and floodwall systems that are designed specifically to protect critical facilities (defined as Hazardous Materials Facilities, Emergency Operation Centers, Power Facilities, Water Facilities, Sewer and Wastewater Treatment Facilities, Communications Facilities, Emergency Medical Care Facilities, Fire Protection, and Emergency Facilities) and that do not constitute a section of a larger flood control system

Any of the above mitigation projects for a critical facility, as defined above, may include the purchase of a generator or related equipment purchases (*e.g.*, generator hook-ups) as a functional portion to the larger eligible mitigation project sub-application, as long as the generator or related equipment purchase directly relates to the hazard(s) that threatens the critical facility.

Applicant management costs activities.

- The solicitation, review, and processing of PDM planning and project sub-applications and sub-grant awards;
- Providing technical assistance to Sub-applicants regarding Benefit-Cost Analysis and Environmental and Historic Preservation documentation;
- Geocoding mitigation projects selected for further review;
- Delivery of technical assistance (*e.g.*, plan reviews, planning workshops) intended to support the implementation of planning and project activities;
- Managing grants (*e.g.*, quarterly reporting and close-out);
- Technical monitoring (*e.g.*, site visits, technical meetings); and
- Hiring staff to perform the above activities.

demolishing an existing structure (*i.e.*, commercial or residential building) and building a new structure (*i.e.*, demolition/rebuild) in floodplains;

- Projects that solely address a manmade hazard;
- Response and communication equipment;
- Projects that solely address maintenance or repairs of existing structures, facilities, or infrastructure (*e.g.*, dredging and removal);
- Localized flood control projects that do not protect a critical facility or constitute a part of a larger project; and
- Any project for which another Federal agency has primary authority.

#### PLANNING ACTIVITIES:

Eligibility for a project grant is dependent on the Applicant and Sub-applicant having a FEMA-approved hazard mitigation plan by the application deadline. The outcome of a mitigation planning sub-grant award must be a FEMA-approved hazard mitigation plan that complies with the requirements of 44 C.F.R. Part 201. The planning grant deliverable can be a new hazard mitigation plan, an upgrade of an existing FEMA approved hazard mitigation plan or an update of an already FEMA-approved hazard mitigation plan.

## ELIGIBILITY REQUIREMENTS

#### APPLICANT ELIGIBILITY:

Only the State emergency management agencies or a similar office (*i.e.*, the office that has emergency management responsibility) of the State, the District of Columbia, the U.S. Virgin Islands, the Commonwealth of Puerto Rico, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands, as well as Federally-recognized Indian tribal governments are eligible to apply to FEMA for assistance as Applicants under this program. Each State, Territory, or tribal government shall designate one Agency to serve as the Applicant for this program. Each Applicant may submit an unlimited amount of sub-applications for eligible planning/project activities that the Applicant has reviewed and approved in eGrants. A separate management cost sub-application must be submitted for Applicant management costs.

#### SUB-APPLICANT ELIGIBILITY:

The following entities are eligible to apply to the Applicant for assistance: State-level agencies including State institutions (*e.g.*, State hospital or university); Federally-recognized Indian tribal governments; local governments, including State-recognized tribes, authorized tribal organizations, and Alaska Native villages; public colleges and universities;

## KEY POINTS

#### NFIP PARTICIPATION:

If Applicants and Sub-applicants have been identified through the NFIP as having a Special Flood Hazard Area (SFHA), and a Flood Hazard Boundary Map (FHBM) or Flood Insurance Rate Map (FIRM) has been issued for their specific jurisdiction, they must be participating in the NFIP and not on probation, suspended, or withdrawn from the NFIP to be eligible for the PDM program. Applicants/Sub-applicants that are not mapped or have not been issued a map are eligible for the PDM program.

The only exception to this policy is for Federally-recognized Indian tribal governments, who will be eligible to receive PDM planning grants even if they have been issued a FHBM or FIRM and they are not participating in the NFIP. Tribal governments will not be eligible for PDM project grants, however, until they are participating in the NFIP. The

and tribal colleges and universities. Private non-profit (PNP) organizations and private colleges and universities are not eligible Sub-applicants; however, an eligible, relevant State agency or local government may apply to the Applicant as the Sub-applicant for assistance to benefit the private entity.

planning grant is intended to provide the tribal governments with the information, resources, and incentives that will enable them to take the necessary steps to join and participate in the NFIP.

**MITIGATION PLAN REQUIREMENT:**

All Applicants must have a FEMA-approved State/tribal Standard or Enhanced hazard mitigation plan by the application deadline to be eligible to receive project grant funding under the PDM program in accordance with 44 C.F.R. Part 201. In addition, all Sub-applicants must have a FEMA-approved hazard mitigation plan by the application deadline to be eligible to receive project grant funding under the PDM program.

Projects submitted for consideration must be consistent with the goals and objectives identified in the current FEMA-approved State/tribal hazard mitigation plan and the tribal/local/university hazard mitigation plan for the jurisdiction in which the activity is located.

**INTENT TO PARTICIPATE:**

A Letter of Intent to Participate from the owner of each property identified in the SOW. The form includes documentation that demonstrates that the Applicant/Sub-applicant has advised each property owner that acquisition projects for open space acquisition are voluntary and that Grantee/Sub-grantee will not use its eminent domain authority to acquire the property for open space purposes should negotiations fail. Documentation of signature for each property is required.

**APPLICATION PROCESS**

**APPLICATION PROCESS:**

Applicants must use the electronic grants (*eGrants*) management system: <https://portal.fema.gov> to submit a PDM grant application to include planning, project, and management cost sub-applications. Only PDM-C grant applications submitted through the *eGrants* system will be accepted. If a Sub-applicant does not use the *eGrants* system, the Applicant must enter the Sub-applicant's paper sub-application(s) into the *eGrants* system on their behalf using the Paper Sub-application Intake function. Paper planning and project sub-applications that follow the *eGrants* format are available in the *eGrants* system for Sub-applicants to use. Applicants must provide an original and two copies of any paper supporting documentation that cannot be electronically attached to the *eGrants* application (*e.g.*, engineering drawings, photos, maps) to the appropriate Regional Office. However, the entire application, including all paper documentation, must be received by the appropriate FEMA Regional office by the application deadline. Paper duplicates of attachments submitted with sub-applications in *eGrants* are not necessary.

**BENEFIT-COST ANALYSIS:**

The Applicant or Sub-applicant are required to perform a BCA for each property, including repetitive flood loss properties and substantially damaged properties.

**KEY POINTS**

**APPLICATION PERIOD:**

Applicants must submit an FY 2007 PDM grant application to the appropriate FEMA Regional Office by February 5, 2007, at 11:59:59 p.m. Eastern Standard Time.

**EGRANTS TECHNICAL ASSISTANCE:**

FEMA will provide technical assistance regarding the *eGrants* system through the *eGrants* Helpdesk: 1-866-476-0544 or [mtegrants@dhs.gov](mailto:mtegrants@dhs.gov).

**PROJECT TECHNICAL ASSISTANCE:**

Technical assistance for engineering feasibility, Benefit-Cost Analysis, and Environmental/ Historic Preservation compliance is available through the FEMA Technical Assistance Helplines:

**TECHNICAL ASSISTANCE:**

FEMA may provide technical assistance to Applicants and Sub-applicants regarding the level of documentation and the types of information that FEMA will need to adequately review the feasibility and effectiveness of proposed mitigation projects. In addition, FEMA may provide technical assistance to Applicants and Sub-applicants regarding the completeness and accuracy of project cost estimating for engineering costs.

**TECHNICAL ASSISTANCE HELP LINES:**

Phone:  
(866) 222-3580 (toll free)

E-mail:  
[enghelpline@dhs.gov](mailto:enghelpline@dhs.gov)  
[bchelpline@dhs.gov](mailto:bchelpline@dhs.gov)  
[ehhelpline@dhs.gov](mailto:ehhelpline@dhs.gov)

**APPLICATION REVIEW****APPLICATION REVIEW:**

FEMA will review all planning sub-applications to ensure the following:

- Eligibility of the Applicant and Sub-applicant;
- Eligibility of proposed planning activities and costs;
- Completeness of the sub-application;
- Consistency of the proposed planning activity with the goals and objectives of the Applicant's State/tribal hazard mitigation plan;
- Adequacy of the justification for the proposed planning activity if the Sub-applicant already has a FEMA-approved hazard mitigation plan or has already received a planning grant;
- Completeness of SOW;
- Completeness of the Cost Estimate and consistency with the SOW;
- Eligibility and availability of non-Federal cost share; and
- Complete responses to Evaluation Information section questions for National Ranking and Evaluation, including the assessment of the frequency and severity of hazards.

Planning sub-applications that do not satisfy the Eligibility and Completeness requirements will be removed from consideration.

**KEY POINTS****ELIMINATION CRITERIA:**

- Ineligible Applicant or Sub-applicant;
- Applicant and Sub-applicant mapped through the NFIP, but not participating or on probation, suspended or withdrawn from the NFIP;
- Incomplete application;
- Ineligible activities;
- Mitigation projects from Applicants/Sub-applicants that do not have approved hazard mitigation plans;
- Mitigation projects that are determined not to be feasible and/or effective at solving the problem for which they were designed;
- Mitigation projects with a Benefit-Cost Ratio less than 1.0;
- Mitigation projects without a BCA or with inadequately documented BCA; and
- Missing cost-share funding.

## NATIONAL RANKING PROCESS

### NATIONAL RANKING:

National Ranking factors are:

FY 2007 NATIONAL RANKING FACTORS AND POINT VALUES	PLANS	PROJECTS
The priority given to the sub-application by the Applicant in their PDM grant application	35%	35%
Assessment of frequency and severity of hazards	30%	N/A
Whether the Applicant has a FEMA-approved Enhanced State/tribal hazard mitigation plan by the application deadline	15%	20%
Community mitigation factors such as Community Rating System class, Cooperating Technical Partner, participation as a Firewise Community, and adoption and enforcement of codes including the International Code Series and National Fire Protection Association 5000 Code, as measured by the Building Code Effectiveness Grading Schedule	15%	15%
The percent of the population benefiting, which equals the number of individuals directly benefiting divided by the community population	N/A	15%
Whether the project protects critical facilities	N/A	10%
Status of the local Sub-applicant as a small and impoverished community	5%	5%
<b>TOTAL POINT VALUES</b>	<b>100%</b>	<b>100%</b>

## KEY POINTS

### NATIONAL RANKING:

FEMA will score all eligible planning and project sub-applications on the basis of predetermined, objective, and quantitative factors to calculate a National Ranking Score.

Sub-applications will be sorted in descending order based on the National Ranking scores. FEMA will forward from the National Ranking to the National Evaluation the highest scoring sub-applications representing no less than 150% of available funds. FEMA may also include the two highest scoring sub-applications from tribal Applicants in the National Evaluation, if not already included in the 150%.

## NATIONAL EVALUATION PROCESS

### NATIONAL EVALUATION:

National Evaluation factors are:

FY 2007 NATIONAL EVALUATION FACTORS AND POINT VALUES	PLANS	PROJECTS
Strategy for and identification of appropriate and useful performance measures to assure the success of the proposed mitigation activity	30%	30%
Sufficient staff and resources for implementation of the proposed mitigation planning process or proposed mitigation project	30%	20%
Thoroughness of SOW that demonstrates an understanding of the planning process and describes a methodology for completing the proposed mitigation plan	30%	N/A
Project sub-application demonstrates that the proposed mitigation activity reduces the overall risks to the population and structures.	N/A	20%
Durability of the financial and social benefits that will be achieved through the proposed mitigation project	N/A	15%
Leveraging of Federal/State/tribal/territorial/local/ private partnerships to enhance the outcome of the proposed activity	5%	5%
Description of unique or innovative outreach activities appropriate to the planning process (e.g., press releases, success stories) that advance mitigation and/or serve as a model for other communities	5%	N/A
Protection of critical facilities	N/A	5%
Inclusion of outreach activities appropriate to the proposed mitigation project	N/A	5%
<b>TOTAL POINT VALUES</b>	<b>100%</b>	<b>100%</b>

## KEY POINTS

### NATIONAL EVALUATION:

National panels chaired by FEMA and composed of representatives from FEMA Headquarters and Regions, other Federal agencies, States, Federally-recognized Indian tribal governments, Territories, and local governments will convene to evaluate planning and project sub-applications on the basis of additional pre-determined qualitative factors.

Sub-applications will be sorted in descending order based on the National Evaluation and Confidence Rating scores. The highest scoring project sub-applications representing no less than 150 % of available funding will be forwarded to the Technical Review.

## NATIONAL TECHNICAL REVIEW

### NATIONAL TECHNICAL REVIEW:

FEMA will conduct the following technical reviews for the highest scoring project sub-applications representing no less than 150% of available funding:

- Benefit-Cost Analysis; and
- Engineering Feasibility.

## KEY POINTS

### NATIONAL TECHNICAL REVIEW:

Project sub-applications that do not meet cost-effectiveness and engineering feasibility requirements will be removed from consideration and will not be selected for further review.



## AWARD PROCESS

### SELECTION/AWARD:

The Approving Federal Official at FEMA Headquarters shall consider the National Evaluation Score, the comments and recommendations from independent panelists, and any other pertinent information in determining which planning and project sub-applications are selected for further review up to the amount of funds available for the program.

The process is two-fold:

First, for States only, FEMA will select for further review the highest scoring eligible sub-applicants from each State in order until the projects and/or plans within a State are no less than \$500,000.

Second, all remaining eligible sub-applications (including those from Indian tribal governments) will be reordered and, the Approving Federal Official shall select the highest scored eligible planning and project sub-applications for further review, in order, up to the remaining amount of funds available for the program. That is unless a sub-application is justified for selection out of rank order based upon one or more of the following factors:

- Availability of funding;
- Balance/distribution of funds geographically or by type of recipient;
- Duplication of sub-applications;
- Program priorities and policy factors; and
- Other pertinent information.

FEMA will contact Applicants selected for further review, however, note that pre-award activities are not considered notification or guarantee of an award.

## KEY POINTS

### ENVIRONMENTAL REVIEW:

FEMA will complete the Environmental/Historic preservation compliance review for projects selected for further review as part of pre-award activities. Project sub-applications will not be awarded and projects can not be initiated until FEMA has completed the Environmental/Historic Preservation review.

### UNSUCCESSFUL APPLICATIONS:

FEMA will notify Applicants of sub-applications that do not satisfy Eligibility and Completeness requirements; sub-applications that are not forwarded to National Evaluation following the National Ranking; and sub-applications that are not selected for further review by the Approving Federal Official.